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ABSTRACT

These three conference presentations on teacher evaluation cover gathering and using evaluation information. Robert D. Brown emphasizes the communication and trust necessary to maintaining a good working relationship during and after evaluations. Basic strategies of data gathering and reporting are covered, as well. Using a management information perspective, Lloyd A. DuVall focuses on deciding what information to include, building an evaluation framework with that information, reporting evaluations legally, and using information gathered for management decisions and improvement of instruction. Anton J. Netusil divides the utilization of information from teacher evaluations into 24 exhibits, which are condensations of the essential elements of evaluations, which include purposes of evaluation, characteristics of effective teachers and schools, management styles, and characteristics of a well-organized teacher. (JW)

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Teacher Evaluation: Gathering and Using Data

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Introduction

William J. Gephart and Robert B. Ingle

The evaluation of teaching is an interesting process. Its literature suggests that it is a complicated process, that few people are satisfied by the way it is done, that *very* few people know how to do it well, and that those few people don't know how to tell the rest of us how to do it. On the other hand, teaching is evaluated: all of us do it, all the time, and with apparent ease and very little fuss. How can this apparent conflict exist? How can we resolve it?

The answer to these questions is becoming clearer as we continue to study the nature of evaluation. At its core, evaluation is the process of determining the worth or value of two or more options in a given decision situation. Note carefully that there are *two intertwined activities* referenced in that statement: *decision making* and *evaluation*. They are related; they influence and condition each other, but they are *not* the same. It is altogether possible to value things (people, conditions, etc.) without ever making a decision. And, it is equally possible to make decisions without determining value. Decision making is the act of choosing: One is faced with two or more possibilities and must select one of them. The option that is selected will be treated differently from the other options.

Evaluation may or may not determine choices. Where it does, it does so by helping the decision maker(s) become clear about the worth or value of the individual options in a specific decision. At a minimum, there are two activities involved in determining value. First, for any given set of options the appropriate dimensions of value must be identified. In the decision to buy a car the options are *kinds of automobiles*, and the dimensions of value might include purchase price, repair record, miles per gallon, comfort, power, attractiveness, etc. In a decision to join a church the options are *churches*, and the dimensions of value might include nature of the religious beliefs held, personality of the minister, nature of the congregation, location, programs, and services offered, etc. If the decision focuses on my growth as a teacher, the options are "ways of improving my instruction," and the dimensions of value might include the amount of learning displayed by

my students, my learning style, my enthusiasm for learning about the subject I teach, etc.

The second activity in evaluation is that of measuring each of the options on each of the appropriate dimensions of value. When these two activities are completed, the information is available for making some or all of the "value claims" described by Millman and Gowan (1978). The *intrinsic* value claims that an option is a "good," the *instrumental* value claims that our option is "good for," and the *comparative* value claims that one option is "better than" another.

People engage in valuing activities all the time. Life continually presents us with decision situations. Through the valuing and choice making in these life experiences, we develop some degree of skill at sensing the relative value of options, particularly in those decision situations that are repetitive. Much of that "sensing of value" is subjective and idiosyncratic. A good bit of the time that is fine. But, subjectivity and idiosyncrasy are problematic at other times. In other words, sometimes we "evaluate" almost unconsciously, easily, without fuss, and at other times we evaluate consciously, rigorously, objectively. Evaluation then is both a difficult, arduous, empirically based process and an easy, simple process.

What differentiates evaluation that is easy from evaluation that is difficult? How can we determine that a subjective, idiosyncratic evaluation will be sufficient or that we need to be objective and empirical in our evaluative work? The answer can be found by examining the impact of a given decision. Who will be affected by the decision? Who will suffer if a "bum" decision is made? Who will benefit if a "good" decision, a good choice is made?

An illustration may help make the point. Several years ago there was a death in my kitchen. The dishwasher expired! Like the "wonderful one horse shay," it had gone from a trusted ally to a heap of rubble. Clearly, a decision situation existed. Two options were immediately apparent: I could get a new dishwasher or I could *become* the dishwasher.

Determining the relative value or worth of those options was not difficult at all. Nor did it require the manipulation of complex mathematical matrices! It was instantly, and subjectively, clear to me that getting a new dishwasher was preferable to becoming the dishwasher. That was easy. It was so easy that I did not think of it as evaluation. Once having chosen to purchase a new one, I created a new and more complex decision situation. Do you know how many companies make dishwashers? And, do you

know how many models of dishwashers those companies make? There is a finite and relatively large number of models of dishwashers. Which one shall I buy? A quick look at consumer guides helped. I began to get a "feel" that company A's Model III was more effective than any of Company B's models. I even began to write some value statements down, and I made some mathematical calculations. An empirical evaluation was taking shape. Those efforts, plus conversations with my friends about their "luck" with their dishwashers (shades of naturalistic inquiry) led me to the point where I bought a Kitchen Queen Model II. I had listened to the "report" I gave myself that told me the relative value of all the models, and I picked a Kitchen Queen II.

Where is the impact of that decision? If I had conducted a poor evaluation and the Kitchen Queen II dishwasher was the lemon of the lot, who would be affected? The answer, for the most part, is me! If KQ-II was a bum choice, who would be upset? Who would have to take some subsequent action? I would. If I make a bad choice and the consequences of that bad choice fall only on me, the subjectiveness of evaluation is not a major problem. On the other hand, if I make a bad choice and the consequences impact heavily on other people, the subjectiveness needs to be reduced as much as is humanly possible. For example, if I am responsible—because of my job as a supervisor or administrator—for recommending that you change your teaching activities, the choices *I* make impact on *you* and *your students*. In such a case, I cannot rely solely on my subjectively held values. If I am responsible for choosing to retain or dismiss teacher X, the impact of a bad choice is on that teacher and a specific set of learners. Excessive subjectivity cannot be allowed. *I need to make a reasoned choice using logic that can be documented and defended.*

Concerns about accountability, the stabilizing of teaching staffs (as teaching jobs become more scarce, teachers become less mobile), and the personal needs for professional growth have increased the pressure for the evaluation of teaching. As a result, school systems, state legislatures, and state departments of instruction are placing more emphasis on the systematic evaluation of teaching. The NSPER:81 sessions focused on gathering, reporting, and using information generated in the evaluation of teaching. Before getting into those topics, the three NSPER:81 sessions delineated the purposes served by the evaluation of teaching. If we accept the maxim that "form follows function," we need to determine the functions or purposes of the evaluation of teaching *before* looking at the methods of gathering, reporting, and using evaluation information.

Five purposes for the evaluation of teaching can be found in the NSPER:81 deliberations. They are:

1. *Professional Growth.* Evaluation of teaching is sometimes done to help the individual teacher grow professionally. Sometimes we evaluate my teaching to give me information I will use in my decisions about how I will teach.

2. *Management.* We work at the educative task in institutions set up by our society. As individuals we contract with educational institutions to do specified tasks. Because of the complexity of these institutions, there is a need to manage them systematically, a need which in part is an evaluation function. Institutional decision situations occur, and there is a need to know the relative worth of the options in those decisions. And sometimes those managerial decisions focus on teachers and teaching. Sometimes we evaluate my teaching to give administrators and supervisors information they can use in their decisions about how they will use me. Decisions affected by this teacher evaluation function include: staff selection and assignment, promotion, and retention or dismissal.

3. *Compliance.* Funding agencies sometimes demand that evaluation of teaching be carried out in specific ways. Those mandated evaluations are often designed to help in the funding agency's decision making, not in the school's decisions. Such cases are instances of the "Golden Rule": Them that's got the gold make the rules. In such instances we comply. We do the evaluation that is mandated, send the results to the agency, and get on with the evaluations that will generate information needed in our own institution's decision making.

4. *Monitoring.* Over time, we observe that Ms. Teacher is a top-notch teacher—according to the ways our school defines good teaching. We repeat that observation over several years and through numerous data collection approaches. Eventually, we reach the point that we agree: Ms. Teacher is a really good teacher. At this point, we insult Ms. Teacher if we continue to ask her to grow professionally. She is doing it, and we ought to stay out of her way. At the same time, we know that circumstances can modify a person's performance. Physical or emotional health can change. Out-of-school responsibilities can change, and these changes can affect performance. The system needs information that indicates that all of its parts are on track. This calls for monitoring. We recognize that Ms. Teacher is good, and all we need is a monitoring process that affirms the continuance of her high performance.

5. *Teacher Protection.* There are times when individual teachers are the target of unjust parental or public complaint. At

those times, administrators are called upon to defend the specific teacher's actions. If the administrator has little knowledge of how a teacher works, he or she is in a very poor position to defend a teacher against allegations of poor or unacceptable performance.

Most of the NSPER:81 sessions focused on functions one and two: professional growth and management. These two are the focus of much of the current discussion on the evaluation of teaching. They seem to be the source of much operational concern on the part of teachers and administrators. Teachers fear the use of poorly done evaluations. And administrators often recognize the need for improved understandings of the teacher evaluation process and of the use of information it generates.

As has become customary, three geographically dispersed NSPER:81 sessions were held. The topical focus and agenda for each session were the same, but the resource persons and participants were different—the resource persons by design; the participants by the chance processes that led people to a particular NSPER:81 session. As implied, the resource persons brought differing kinds of expertise and background to the NSPER:81 sessions. Robert D. Brown (University of Nebraska) has conducted and published as much research on the topic of "evaluation use" as any other researcher active at the time of the sessions. Brown's training and background are in educational psychology, with emphasis on counseling and student personnel services. Lloyd DuVall was the director of the R&D center on educational administration and policy at the University of Oregon for a number of years. He brought to NSPER:81 a concern about the administrative and teacher roles, particularly as they relate to the evaluation of teaching. Anton J. Netusil (Iowa State University) is also an educational psychologist whose professional focus for many years has been on inquiry methods (evaluation and research) and techniques, particularly measurement and statistics that are useful in empirical inquiry. Netusil has been a member of the Ames, Iowa, school board for the past decade and has worked on a large school improvement project in the upper Midwest that has, as one component, training to improve the evaluation of teaching. Both of these experiences enhanced his contributions as a NSPER:81 resource person.

The NSPER:81 participants are an important resource that should not go unnoticed. The "S" in NSPER stands for symposia, and throughout its 15-year history considerable energy has been expended to make it a symposium. The NSPER participants include researchers and practitioners at all levels of education. A check of their addresses on the participant rosters for NSPER:81

shows that 29% work in elementary, middle, and secondary school; 27% work in colleges or universities; 4% work in other educational agencies; and 40% used a home address. Experience with NSPER participant groups is convincing regarding two counts: 1) the participants have a broad range of professional experiences, and 2) given the opportunity, they are all willing to exchange information on educational evaluation problems they have encountered *and* resolved. Because of this, the NSPER sessions for several years have followed a pattern of: 1) presentation by a resource person, 2) clarifying question-and-answer session involving the resource person and participants, 3) small group discussion regarding the meaning of the concepts used by the resource person, 4) discussion of concepts that logically should not have been included, 5) discussion of concepts that should be added to those used by the resource persons, and 6) a closing plenary session to merge those small group discussions. In this way, a NSPER session merges the knowledge and experiences of researchers and practitioners at all educational levels.

As indicated earlier, the deliberations focused primarily on two functions served by evaluation of teaching. It also focused on the aspects of evaluating teaching shown in the matrix below. The remainder of this monograph presents the resource persons' contributions to the cells in that matrix.

FUNCTIONS OF TEACHER EVALUATION

EVALUATION ACTIVITIES	Professional Growth	Management	Compliance	Monitoring	Teacher Protection
Delineating Data Needs					
Gathering Data					
Reporting					
Using Evaluative Information					

NSPER:81

Des Moines Presentation

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Helpful and Humane Teacher Evaluations

Robert D. Brown

It is not unusual to find articles about the quality of instruction or the competency of school teachers in national magazines or newspapers, as well as in teacher education journals. So it is with perhaps dismay, but not shock, that we find headlines and article leads which read "Answers sought for education schools' failing," "Incompetent teachers stay on job due to principal's fear of firings," and "Up to 15% of district's 6,000 teachers deficient." These headlines and leads appeared in the *Dallas Times Herald*, September 30, 1981 and October 1, 1981. There is no denying that education's linen, especially when it is soiled, is public property and of sufficient interest to be front page news.

Principals and superintendents are faced with making decisions about which teachers to keep or let go, and how to improve instruction. As they make these tough decisions, they want to be fair. As one principal was quoted about a dismissal in the *Dallas Times Herald* article "It was absolutely terrible, horrendous, the worst thing I've ever had to do in my life . . . ." If these decisions are not to be made capriciously, or solely on the basis of seniority, principals and superintendents also want evaluative information about their teaching staffs. They want a teacher evaluation system that will help them make these difficult decisions.

Teacher evaluation should not be considered solely from a technical perspective. Specific procedures and instrumentation for evaluating teacher performance should be the last questions asked rather than the first. Each procedure, technique, and instrument must be derived, used, and interpreted in light of responses to five basic questions. Although it is not the purpose of this paper to explore these questions in detail, it is important that the questions be asked so that they can serve as the template for determining the appropriateness of evaluation strategies. Briefly here are those questions:

1. *What is the purpose of education?* Is education for cognitive intellectual growth? Should education affect moral-ethical, cultural, and aesthetic growth as well? What about motor skill and recreational skill development? How we answer these questions determine our expectations of teachers and student-teacher interactions.

2. *What is the role of the teacher?* Is the teacher responsible for direct instruction, or is the teacher primarily a manager of a learning environment? How we answer this question affects our criteria of teacher effectiveness.

3. *What is the criteria for successful teaching?* Should the criteria be singular, solely what students learn and how much? Should measures of teacher effectiveness include how satisfied students are and how eager they are to learn more?

4. *What is the purpose of teacher evaluation?* Evaluation can serve a variety of masters. Teacher evaluation can be used to improve instruction, reward performance, assist administrative decisions, serve as a public relations tool, validate a selection process, or promote teacher development.

5. *What is the role of the administrator?* What decisions does the administrator have to make? Is the administrator the person who will assist teachers in professional development? Is the administrator the person who must tell teachers they are on probation or not to be hired for the next year?

Answers to each of these questions are important and should be asked prior to the evaluation process and continually as the procedures are implemented, instruments developed, and results reported and used. My answers to many of these questions have appeared elsewhere (Brown, 1972; 1980). What is important are your answers and the answers of the teachers, administrators, and decision makers with whom you work.

The focus of this paper is primarily on how to collect, report, and use teacher evaluation information. Basic strategies are described as well as some cautions. The pervasive theme is that in any teacher evaluation process two ingredients are necessary: communication and trust. Some of the strategies described will be helpful for collecting evaluation information to assist the teacher to become a better instructor. Other strategies will be useful if the information is being collected to determine whether the teacher should be hired again or not. Whatever the evaluation purpose, communication and mutual trust remain important constants.

Data Gathering Techniques

There are several sources of information about teacher effectiveness which can be used in varying degrees depending upon the schools' philosophy of education, definition of effective instruction, and available resources. Each of these will be described briefly and their respective advantages and disadvantages noted.

Proxy Measures

These measures may be indirectly related to teaching effectiveness, but they are not direct measures. They would include organization, for example. How well planned are the teacher's lessons and examinations? Clarity of presentations and enthusiasm for the subject and for teaching are also examples of proxy measures. The extent to which students pay attention and interact with the teacher and instructional materials might also be proxy measures. Generally, these measures are readily accessible, though they are often subjective and difficult to measure objectively. They have intuitive value because it is difficult to imagine a teacher being effective who is not organized, enthusiastic, stimulating, and coherent.

The direct relationship between these proxy measures, especially teacher personality characteristics, and what students learn, however, has not been validated by research. There appears to be substantial interaction between student characteristics and teacher characteristics. Some students learn more from one type of teacher and other students learn more from a completely different type of teacher. So relationships between many proxy measures and student learning are not straightforward. Teachers are also likely to resist being judged on the basis of proxy measures.

Proxy measures should be used with caution and rarely as the sole criterion for decision making. They can be useful in initial teacher selection, if the school wants to ensure the teacher has a style congruent with the school's environment and expectations. In larger schools some effort could be made to match students with teachers on the basis of learning styles and teaching styles.

Observation

Sitting in on classes is an effective data-gathering technique but often neglected and seldom systematized. As one teacher in the *Dallas Times Herald* article said, "I've never had a principal observe me, not once in the last five years." As you consider using this technique be sure to do the following:

1. Make the observation a natural activity. It should be done with the teacher's permission, forewarning, and frequently enough so that it is not entirely novel.
2. Use an observation form that provides for systematic recording of teacher and student behavior. This form should be developed in cooperation with teachers and should be piloted and

revised until it can be used reliably (more than one observer arrive at essentially the same ratings).

3. Visit with the teacher as soon as possible after the observation. Provide positive feedback as well as critical. Ask for teacher reactions and be specific about ways to improve.

4. Consider using peer observations as well as supervisor observations. If implemented correctly, this can result in a highly supportive atmosphere.

Following these guidelines will help overcome some of the potential disadvantages of the observational technique which include concern about the accuracy of isolated, infrequent observations and problems of comparing teachers across subjects and classes. Again, do not rely on this as a sole data-gathering technique.

Interviews

Interviewing is most valuable when combined with other strategies. Teachers can be interviewed prior to an observation to determine their goals, how they feel about the particular class, and what instructional strategies they would like to demonstrate. Interviews should also follow all observations. Both uses provide the observer with the personal context of the teachers. Knowing how teachers feel about their classes and what their specific goals are can be obtained in writing, but personal interviews provide much richer information. In conducting an interview, be sure to: a) make the purpose clear, b) focus on one or two issues, and c) provide positive feedback and helpful information. Be sure to be a good listener during the interview. There is probably no better way to demonstrate that you care and that communication in evaluation is two-way.

Peer Ratings

This technique is probably used more at the college level than in other school settings. In colleges, faculty peers often assess others' publication records, knowledge of subject, and general advising competency. If the evaluation is particularly concerned with how well a school teacher knows the subject and how appropriate the instructional content is, this can be a useful data-gathering strategy. Other teachers in the same subject matter might examine text materials, supplementary instructional materials and activities, assignments, and examinations.

It is important that teachers being evaluated with this technique be comfortable with the idea. This would usually mean that

they participated in development of the process and have seen and critiqued rating forms and the criteria. This technique could be implemented more or less informally through meetings, retreats, and workshops for teachers involved in similar subjects.

Self-Evaluations

Self-evaluations are probably the most frequent form of evaluation. Evaluation is a natural process, and every teacher walks away from the classroom each day with an overall gestalt of how the day went. He or she often has specific reactions to particular instructional activities: "Next time I use those materials I will prepare some supplementary handouts." "I need to check out Johnny's reading speed; he seems to be falling behind during the reading assignment period." The particular value of this form of evaluation is that it is likely to be of great use for the individual teacher in improving his or her teaching, thus serving a formative role. External evaluation from a supervisor may be denied or discredited, and it may result in no change or change motivated by fear. Self-evaluation may also lead to rationalizations, but if consultation is available, it is likely to result in changed behavior.

It is important for principals and superintendents to establish a climate which is conducive to self-evaluation. If the principal cannot adequately serve as a mentor as well as supervisor, a counseling program might be established. There should be someone the teacher can go to and honestly admit without fear of recrimination, "I am weak in this area; can you give me some helpful ideas?"

Self-ratings of effectiveness do not correlate highly with ratings of students or colleagues, so teachers cannot always see themselves as others see them (Carroll, 1981). But this strategy can be made more useful through development of programs which permit teachers to sit in on other classrooms, observe master teachers on videotapes, see themselves on videotape, and obtain student ratings. Again, we note that this technique is best used in conjunction with other data-gathering strategies and in an environment which is open and trusting.

Student Ratings

Student ratings have been used most extensively on college campuses where they are often voluntary, but occasionally they may be compulsory and sometimes are even made public. Student ratings can provide information on the motivation level of students, the extent of teacher-student rapport, and general

satisfaction level of students. Student ratings are constantly under fire by faculty who question their reliability and validity, but research often indicates that student ratings are reliable, not popularity contests, and can be valid (Aleamoni, 1981). Some characteristics of the class—class size and whether the class is required or not—are usually related to student ratings. Generally, research findings suggest that student ratings are useful data for formative purposes (improving instruction) and perhaps also for making decisions about hiring and firing, if used in conjunction with other data.

Use of student ratings have been neglected at the elementary and high school levels. Should they be used, either on a system-wide basis or by individual teachers, they should be combined with the availability of a consultant or with the assistance of a mentor. Teachers should have access to someone who will help them translate the raw ratings into useful information. Otherwise, teachers are likely to focus on extremely good or bad ratings. Every teacher knows that not every student can be pleased, but they keep trying, and even one nasty comment out of 50 highly positive student reactions can hurt, be remembered a long time, and lead to cynicism rather than improvement.

Like other strategies, if a system-wide student rating program is implemented, teachers should be involved in the design and use of the instruments. You will want some common items, but also enough flexibility so that individual teachers can add items related to their specific purposes or delete items that are irrelevant. If the ratings are used by persons other than the teachers, security procedures should be carefully designed with assurance that instructions will be standardized and the forms returned to someone other than the instructor.

Student Achievement

At first glance, collecting data on what students learn appears to be a natural and straightforward process and the criteria self-evident. It is not. As much as any other data that might be collected, how student achievement data is collected and used in evaluation is dependent upon how the teacher's role is viewed. If the primary role of teaching is to help students learn, then achievement measures are directly related. If, on the other hand, the primary role of the teacher is to provide a good learning environment, then achievement measures may be informative but are a less direct measure of teacher effectiveness.

Two major variables, not in the control of the teacher, affect

student achievement and therefore make interpretation of achievement scores difficult. First are the characteristics of the students. Each student's ability, motivation, and interests, which are affected by past history as well as present circumstances, affect how students are going to react to instruction. Second, comparing teachers across contexts is difficult. Certainly, across schools and communities, and to some degree even within communities, classroom environments vary dramatically in the support services available, the kind of leadership present, the community environment, and other dimensions on which we might characterize the teaching context.

How can we fairly compare two teachers on the basis of student achievement in math when the teachers are in different parts of town, have different resources available in their schools, and are in schools with principals whose views on the role of the teacher in the classroom vary so much? It is difficult.

Certainly measures of student achievement have their place in the evaluation of individual teachers, school systems, and particular curricula. They should, however, be used cautiously and with appropriate consultation with content and measurement experts, and, of course, with teachers themselves. Make sure the selected tests can really be influenced by instruction and that they are not primarily aptitude or intelligence measures; select tests that measure the content which is taught; and finally, make sure the tests are reliable. If available resources are not sufficient, consult the *Mental Measurements Yearbooks* for descriptions of tests, reliability and validity information, and for objective reviews.

There were several themes running through this discussion of data collection strategies which merit reiteration:

1. Use more than one data course.
2. Get teachers involved in decisions about what to use and how the techniques are to be used.
3. Be supportive. Try to improve instruction through incremental steps.

Reporting Evaluation Results

Administrators and evaluators are often forced to be creative when considering data-gathering strategies because of the obvious complexities and difficulties. However, many fall back on the supposedly expected formal written report when summariz-

ing results of their data collection. Because of this, most evaluators tell horror stories of how reports of comprehensive evaluations end up gathering dust on administrators' shelves. When reports are read, evaluators have an equal number of horror stories of how they were misused. There are a number of strategies which are appropriate to prevent reports from becoming dust-covered book ends or front-page headlines. They include development of a different mind set and some specific actions. Here are some of them:

1. *Consider reporting a process, not an event.* Too often evaluators think of reporting as handing in a formal written report, perhaps combined with an oral presentation at a staff or board meeting. Both often become productions. Like evaluation itself, reporting should be considered a process. Start thinking about reporting before the evaluation process even begins. If you are making observations of a teacher or collecting student ratings, think about how the results will be summarized, how they will be reported, and who will get the information before the classroom observations or the student ratings are collected. Usually, you find that you are collecting some needless information, or you may be omitting important descriptive information. The teacher should also know who will have access to the information before the information is collected.

It is particularly important to think of reporting as a process when you have negative information to report. Do not wait until a formal press conference to inform the school board that the achievement scores are the lowest they have been in 10 years. Do not wait until you are releasing a teacher to tell him or her that you were not pleased with the teaching performance you observed over two months ago. It is not just a question of timing, although that is important as well. If viewed as an ongoing process with partial reports as time goes by, there should be no surprises for the audience, whether that audience is an entire board or an individual teacher. This is especially true of negative reports.

2. *Issue informal, periodic reports as well as formal reports.* Evaluation reports should not be restricted to formal occasions. Talking to a teacher in the lounge or over coffee may be 10 times more effective than conveying the same information in the formidable setting of an office or meeting room. Make reports frequent enough so that the message gets across, and make them cumulative so that the total is more than a simple repetition.

3. *Use different reports for different audiences.* Superintendents and principals make reports to boards, teachers, parents, newspapers, and other administrators. The evaluation

issue or information may be basically the same for all audiences, but the reports should vary in style as well as content. Some audiences will want complete reports; others will do best with an executive summary or abstract. For some the information can be presented in a highly technical fashion. This might be the case if you are reporting data to external funders such as the federal government. Always consider the audience, what they want to know, what they need to know, and what they will understand. Most likely, depending upon the circumstances and the number of interested audiences, this will mean writing or presenting several different reports.

4. *Get teachers involved in writing the report.* This applies whether you are summarizing information about one teacher or a group of teachers. Contract and legal requirements may demand otherwise, but if it is possible, have teachers view rough drafts of reports. This builds trust and allows you to obtain valuable input. It also allows you, as the evaluator, to be less defensive about what you have written, because it is, in a sense, being checked before it goes in a record file or to others. A sensitive word or phrase can be changed before it becomes part of an official report. A mistake can be corrected. It also gives the teachers a sense of participation and is a logical follow-up to their being involved in designing evaluation procedures and instruments.

5. *Be brief.*

6. *Be understandable.* This suggestion seems obvious, but too many educators forget that we have a jargon of our own that is very much a part of us and is often useful as verbal shorthand. Studies have shown that language style should match the purpose and nature of the report (Brown, Braskamp, and Newman, 1978; Thompson, Brown, and Ferguson, 1981). If the report is intended to be highly technical and for a technically sophisticated audience, it is all right to include technical language. When a report does not contain technical data, however, the language should be relatively free of jargon. Probably the safest rule is to always try to make the report simple and understandable no matter who the audience is.

7. *Avoid equivocation.* Get to the point. This is particularly important when conveying negative information. When we are indirect, the message often gets garbled. We end up not telling the teacher definite progress is required or she or he will be put on probation. We hope each will either get the message between the lines or that each will change. Being direct does not mean we must be brutal, but it does mean confrontation. We can confront the teacher, however, from a caring perspective.

8. *Be timely*. Have the information ready when it can be used. Telling a teacher she or he should use a different text next year after the books have already been ordered is not much help. Telling the math instructors their students' scores on the standardized math tests were exceptionally low, after they have already made curriculum changes, is not helpful. If frequent informal reports become habit forming as suggested earlier, there should be no problem with evaluation feedback being timely.

9. *Present evaluation results in a problem-solving mode*. Do not try to have answers that explain all of the evaluation findings. Get participants involved in trying to determine the meaning and significance of the information. After observing a teacher perform inadequately in the classroom, you should not report that directly and then walk away, nor should you tell the teacher everything that needs to be done for remediation. Think together about possible causes, solutions, and resources. Get the teacher involved in searching out his or her own solutions. Operating this way will provide a framework for the teacher in the future, make it more likely the teacher will attempt to change, and often lead to more creative and correct solutions.

10. *Be descriptive*. Some of the most useful evaluation information is that which describes what happened in the classroom. Accurate descriptions, free of personal biases, are difficult but can be immensely useful. Videotapes of the teacher in action could be very helpful, if accompanied by appropriate consultation resources.

11. *Follow appropriate due process procedures*. With the advent of collective bargaining, due process for teacher evaluation becomes a concern not only for fairness but also for legal protection. Peterson and Ward (1980) suggest the following guidelines for reporting results in teacher evaluation:

a. Put all policies and procedures in writing.
b. Give teachers a written explanation of evaluation criteria and processes.
c. Make written observations of teacher behavior.
d. Explain all unfavorable comments to teachers, recommend improvements, and offer assistance.
e. Set reasonable time periods for evidence of improvement.
f. Inform the superintendent's office of potential problems, and request that an attorney review the record and the procedures.
g. Give the teacher an opportunity for a hearing.
h. Apprise the teacher, in writing, of her/his rights to counsel and to appeal an adverse decision.

Other suggestions for due process are entirely congruent with the goal of fostering communication and trust. Evaluation should:

1. be free of harassment or belittlement,
2. be free of gratuitous information (i.e., data that will not be used in the evaluation),
3. include formal written policies regarding a) what evaluation is required, b) how teachers may respond, c) confidentiality, d) inclusion of teachers in planning, e) encouragement of collegiality,
4. include personal conferences with teachers (nothing should be put in a file until after the conference), and
5. be humane (Strike and Bull, 1981).

At first, it seems these guidelines and others that apply to your specific situation make the evaluation process an adversary one rather than one designed primarily to improve instruction. That certainly is possible, but not necessarily inevitable. The key, again, is openness and communication. If the procedures are known and teachers are involved in designing the process and how information will be reported, trust should follow, if not because of legal requirements then maybe in spite of them.

[For additional ideas on the reporting process, see the "Checklist for Reporting an Evaluation" on the following pages.]

Using Teacher Evaluations

As noted earlier, evaluation reports can end up on shelves gathering dust, or they can be read and acted upon. We are concerned here with the question: How should the information be *used* once it has been collected, analyzed, and reported?

Our highest hopes are that teacher evaluation data be used by administrators to make decisions about teachers, and that teachers use the information to improve their teaching. Administrators can use evaluation information to help them decide how to best guide teacher development, and it can also be used to decide whether to rehire the teacher or not. Some of the same evaluative information may be used for both purposes, and sometimes the decisions overlap and may occur concurrently. If trust and open communication are to be maintained between the administrator, who is often the evaluator as well, and the teachers, it is important for teachers to know what information is being collected by whom and for what purposes.

CHECKLIST FOR REPORTING AN EVALUATION*

A. IS A FORMAL REPORT NECESSARY?
   1. What is the specific purpose of the report?
   2. Does the decision maker expect a formal written report?
   3. Is it possible to visit the decision maker regularly to make progress reports?
   4. Is a final report required?

B. HOW MANY DIFFERENT REPORT AUDIENCES ARE THERE?
   1. Do different audiences have differnt concerns and expertise?
   2. Does any audience need an oral presentation?
   3. What reporting format would be most effective for the various audiences?

C. HOW LONG SHOULD THE REPORT BE?
   1. Can the decision maker/user obtain needed information from a one- or two-page summary?
   2. Is it possible for readers to readily find the information they need?

D. IS THE REPORT UNDERSTANDABLE?
   1. Would the report be understandable to someone who knew nothing about the program?
   2. Would the conclusions be comprehensible to someone not familiar with measurement or statistics?

E. WHEN ARE THE DECISIONS TO BE MADE?
   1. Is it possible to gather and analyze all relevant data before the decision?
   2. Are preliminary reports possible and acceptable?

F. ARE THERE OPPORTUNITIES FOR FREQUENT INFORMATION REPORTS?
   1. Is some information available sooner than the rest?
   2. Does the staff have access to information as it is available?

G. HOW AND WHEN WILL NEGATIVE FINDINGS BE REPORTED?
   1. Are the evaluator's credibility and relationships with the staff strong enough so that negative findings will be accepted?
   2. Are negative findings reported in a problem-solving rather than a blame-setting context?

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*Abstracted from Brown, R. D. "How Evaluation Can Make a Difference," in G. Hanson, ed., *Evaluating Program Effectiveness*. New Direction Series in Student Services. San Francisco: Jossey-Bass, 1978.

3. Are the negative results shared with those most involved before a public report is presented?

H. IS THE REPORT DESCRIPTIVE?
   1. Is the program portrayed clearly?
   2. Are the "voices" of the respondents used?

I. IS THE REPORTING DONE IN A PROBLEM-SOLVING MODE?
   1. Have recommendations been derived from staff members and participants?
   2. Have possible solutions been listed for problems?
   3. Has the staff been involved in interpreting the data?

J. HAVE YOU FOLLOWED APPROPRIATE PROCEDURES FOR DUE PROCESS?
   1. Have you followed all policies, regulations, contractual obligations, and ethical guidelines?
   2. Have you provided adequate notice?

It is unrealistic, however, to expect all evaluation information to affect decision making directly. Utilization has to be thought of as being on a continuum which might have near one end "heightening awareness" or "reducing uncertainty" and at the other end "direct influence on a decision." In some instances an evaluator might be satisfied if the feedback at least motivates a teacher to think momentarily about instruction techniques. Perhaps additional evaluative information will come later from other sources and will lead that particular teacher to change his or her instructional techniques.

Enhancing the Uses of Evaluation

There are numerous strategies an evaluator can follow to enhance the uses of evaluation information. Three of the most effective strategies will be discussed here, and the reader can also deduce additional ones from the "Utilization Enhancement Checklist," included at the end of this section.

1. *Be professional.* If the evaluator views his or her tasks as onerous and sees little value in the activity, this will be evident to the teachers. The evaluator should be concerned about and committed to providing useful information (Patton, 1978). The evaluator should make his or her competence evident, but also be

humane (Guskin, 1980). Be calm, supportive, and satisfied with incremental change.

2. *Understand teachers.* People react to new information, particularly negative information, in different ways depending upon the circumstance and their self-confidence. Locus of control theory (Rotter, 1966) and related research on its relationship to use of evaluation information suggest several implications for understanding teachers (Newman, Brown, & Rivers, 1981). The extent the teacher feels in control of the situation will affect how evaluative information is used. Generally, self-confident teachers who believe they are in control of their fate will be open to hearing what others have to say about their teaching. On the other hand, teachers who lack self-confidence, and who believe they have little control of their fate, are likely to resist information from others about their teaching effectiveness. They are likely to accept only information that agrees with their own perceptions.

3. *Be a consultant/colleague.* Several authors (e.g., Andrews, 1978) suggest the best way to improve teacher performance through the use of evaluative information is for the evaluator to assume the role of consultant/colleague. There are pitfalls if one assumes only the role of consultant. The evaluator as consultant may get in the habit of giving advice, even when the advice is not relevant. If a dependency relationship develops, the consultant/evaluator may get in the habit of overpraising.

The colleague role places the administrator/evaluator in less of an expert role but rather more in the position of someone who respects the teacher because of their mutuality of concerns and goals. When the role of the evaluator is to promote improvement of instruction, the consultant/colleague role has good potential for influencing teacher behavior. If the administrator is in the position of making decisions about retention, however, it will be more difficult to develop the role of colleague.

These three strategies represent an attitude as much as they suggest specific courses of action. The evaluator must be convinced, and must also convince the teacher, that evaluation can be useful. The evaluator can do this best when he or she understands teachers, their concern about evaluation and the need to protect themselves, and when the evaluator is viewed, not only as an expert consultant, but as a respected colleague as well.

Conclusion

Helpful and humane teacher evaluations are needed but difficult to achieve. Even prior to concerns about budgets, incompe-

tent teachers, and legal requirements, evaluation was often viewed skeptically and with fear. Most of us do not like to be told where we erred or how we should change. Eventually, the person being evaluated needs to recognize his or her shortcomings and accept the information as valid and useful if any change is going to occur. If an administrator/evaluator can build an atmosphere of trust and ensure that communication goes both ways, it is possible that teacher evaluations can become humane endeavors that actually help teachers improve. Perhaps someday we will find a headline in our local paper which reads, "Teachers Design Model Evaluation Program to Improve Their Instruction."

UTILIZATION ENHANCEMENT CHECKLIST*

Directions. There are 50 items listed below which focus on self-analysis, understanding the organizational context, planning the evaluation, the evaluation process, and communication. You may wish to rephrase some of the items to fit your particular situation or to add items. The checklist can serve as a guideline as you conduct an evaluation or as a self-examination after you complete an evaluation. To serve these multiple purposes, all items are written in the present tense.

A. DETERMINING THE EVALUATOR'S ROLE

1. Assess level of personal congruence with the program's general goals and consider withdrawing if the incongruity may result in unnecessary conflicts.
2. Determine extent of personal commitment to the importance of conducting an evaluation of this program.
3. Analyze degree to which personal values and opinions about the program are publicly advocated by the evaluator.
4. Determine appropriate share of the responsibility for utilization.
5. Specify activities related to an educational role as well as a data-gathering, information-providing role.
6. Make sure that consulting skills are sufficient to meet the demands and complexities of the evaluation for the program.
7. Ensure that sufficient technical skills, time resources, and personnel are available to conduct a utilization-focused evaluation.
8. Establish congruence between personal role perception (data-gatherer, consultant, expert, recommender, change agent) and audience expectations.

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*Abstracted from Brown and Braskamp, "Common Themes and a Utilization Checklist," in L. A. Braskamp and R. D. Brown, eds., *Utilization of Evaluative Information*. San Francisco: Jossey-Bass, 1980.

9. Determine willingness to spend time with program staff in activities that are not directly related to the evaluation (for instance, informal lunches).
10. Establish a sense of credibility and trust with the program director, staff, and other audiences.

B. UNDERSTANDING THE ORGANIZATIONAL CONTEXT

1. Obtain and study the organizational chart.
2. Identify the names of key people within and outside the organization.
3. Identify the decision makers and potential users of the evaluation information within and outside the organization.
4. Understand the policy-making process of the organization.
5. Determine which decisions and policies are made as a result of the evaluation.
6. Know when decisions are made.
7. Determine which staff and other users should be consulted as the evaluation is planned and conducted.
8. Determine whether the sponsor of the evaluation is committed to the evaluation activity and uses evaluative information.
9. Determine the information sources and channels within the organization.
10. Trace the path and impact of previous evaluations in the same setting and determine how these affect this evaluation.

C. PLANNING THE EVALUATION

1. Make sure there is a clear understanding of the evaluation role (that is, formative or summative).
2. Set up specific sessions in which the evaluation plan and its implementation are discussed with key persons.
3. Assess the implications of decisions based on the evaluation that affect personnel.
4. Assess the political implications of various evaluation findings.
5. Determine the likely sources of resistance to positive evaluation results.
6. Determine the likely sources of resistance to negative evaluation results.
7. Determine the freedom to provide evaluative information to various audiences.
8. Determine strategies for dealing with potential conflict and tension between program director/staff and evaluator.
9. Design an evaluation plan that will have technical credibility and provide needed information.
10. Establish a mutual problem-solving approach with the program personnel and decision makers.

D. CONDUCTING THE EVALUATION

1. Make sure that everyone understands the purpose of the evaluation.
2. Involve key personnel in determining the purposes, issues, and general evaluation strategies.
3. Involve representatives of potentially affected groups in making decisions about instrumentation and data sources.

4. Be accessible to program staff during the evaluation to learn of and share perspectives from which each is interpreting the information.
5. Collect data from multiple sources.
6. Make sure the data collection instruments and procedures are understandable and relevant.
7. Have informal as well as formal meetings with key persons.
8. Maintain a mutual problem-solving relationship with staff and administrators throughout the evaluation.
9. Collect information needed, but only that.
10. Adapt the evaluation plan to meet changing information needs.

E. COMMUNICATING THE EVALUATIVE INFORMATION

1. Make periodic informal reports or presentations.
2. Ask program staff, especially those most affected, to assist in interpreting the findings.
3. Communicate major findings when available and considered appropriate; do not wait for the formal report deadlines.
4. Share rough drafts or preliminary thoughts with key persons before making a final presentation.
5. Write different reports for different audiences.
6. Make presentations understandable and easy to follow.
7. Link presentation to key issues and decisions.
8. Make sure that all audiences receive the evaluative information in sufficient time prior to key decision-making events.
9. Keep written reports brief.
10. Use several media (slides, charts) when making formal presentations.

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Knoxville Presentation

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An Administrator Views the Evaluation of Teaching

Lloyd A. DuVall

At the outset, let me share the biases with which I approach the topic of teacher evaluation. First, the evaluation of teaching is a legitimate and necessary part of the administrative role. Some argue that administrators cannot, by virtue of their management responsibilities, provide a proper climate and setting for professional improvement activities associated with evaluation. I disagree. Administrators can and should be involved in assisting teachers in professional improvement.

Second, I am more interested in the use of information derived from the evaluation of teaching than I am in the process of evaluation *per se*. I want to be certain that information about teaching is as valid and useful as possible. I am interested in the evaluation process only to the degree that it assists in providing sound information upon which I can base my decisions.

Third, at the elementary and secondary school levels there is little doubt that the principal holds the key role in improving educational quality and initiating change. It is particularly appropriate, therefore, that the evaluation of teaching be viewed from an administrative perspective. With the principal's key role in improving educational quality and the evaluation of teaching, it is reasonable to expect that these two critical responsibilities be mutually supportive.

It is not necessary for one to agree with these biases. Neither is it necessary to assume that they reflect the biases of all administrators. They are presented so that you can better understand my perspective in dealing with the topics of gathering, reporting, and using information derived from the evaluation of teaching.

Gathering Data for the Evaluation of Teaching

Information about teaching abounds in every educational setting. Some information is gathered systematically, using a variety of approaches. Classroom observations, student performance,

student and peer ratings, teacher tests, micro-teaching, and self-evaluations are just some of the approaches used. In addition, informal, nonsystematic information exists and is used by administrators. For instance, student deportment, classroom tidiness, teacher appearance, personal characteristics, and social interchange are all bits of information which can be used in the evaluation process. The problem is not that certain types of information may or may not be used in evaluation, but that information is used or excluded unconsciously, without consideration of the relationships between types of information, and without a clear conception of the purposes. The need is not only for a way to gather data, but also to select existing data for inclusion in teacher evaluations.

As an administrator approaches the task of evaluating teaching, the need is for a rationale that helps in deciding what information to collect or exclude. Such a rationale exists in management information theory. This is an appropriate rationale since evaluation is the collection and use of information about one of the most critical of all administrative functions, personnel.

From the management information perspective, one must focus first on the nature of information itself. Information is the "stuff" of evaluation. It forms the basis for making decisions, for charting courses of action, and organizing the educational enterprise. But, to understand the nature of information, it is necessary to examine its attributes. These attributes are: value, validity, cost, and timeliness.

Values

Value inheres in information in three general categories. Information provides a basis for making decisions on analytic rather than intuitive bases. With the decision-making process resting on as broad a base as possible, one tends to lessen the risks of unanticipated consequences resulting from administrative action. Thus, one can have more confidence not only in the decisions themselves, but also in the process used to reach those decisions.

A second category of value is perceived value. Decision makers must see value, worth, and opportunity in information, or they will not use it. Despite the fact that information may have some potential value, unless decision makers believe in that value, its potential will not be realized.

The third category of value is monetary. This is value that can be measured in finite terms. For instance, two pieces of cost information about a certain type of work to be accomplished can be used to make a decision about that work. The value which results

from using the information that produces a lower cost for accomplishing the task represents a monetary value figure.

Thus, three types of value, all different but related, can be attributed to information: *procedural value*, value in aiding the decision-making process; *perceived value*, value attributed by decision makers themselves; and *monetary value*, value derived from information use.

Validity

Validity is the attribute which reflects the confidence one can place in information. It is the amount of truth, inasmuch as one can know the truth, contained in information.

Validity and value are closely related. Obviously, the more valid the information, the more likely its value will be. This relationship is more complex than would appear at first sight, however. A more complete analysis of this relationsip is shown in the following diagram.

Figure 1*

	Valuable	Not Valuable
Valid	1	2
Not Valid	3	4

This diagram shows that information represented by quadrant #2 is information in which the administrator can have confidence about its accuracy, but it is of little value. In quadrant #3 the information is worthwhile, but the confidence level is so low that the information is useless. In quadrant #4 the information is neither useful nor truthful. Only the information contained in quadrant #1 is both valuable and valid.

*Adapted from Adrian M. McDonough. *Information Economics and Management Systems*, p. 87. Copyright © 1963 McGraw-Hill Book Co. Used by permission.

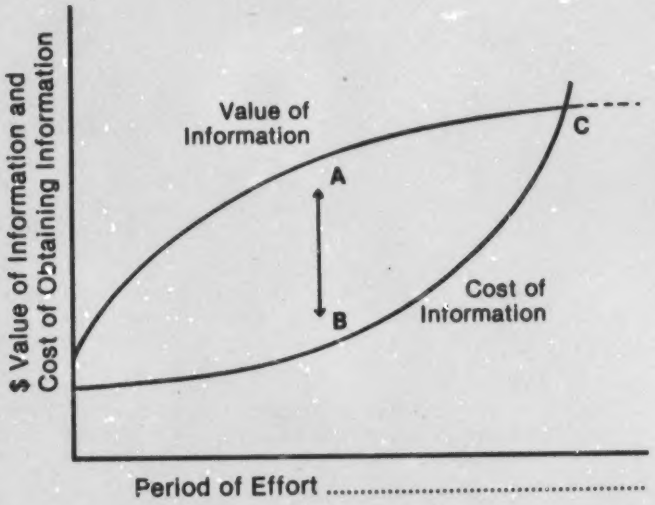
Cost

To produce information in any quantity involves cost. Machines, material, and personnel necessary to collect, process, and use information are costly. Information, therefore, has direct dollar costs.

Another type of cost is organizational energy. When a portion of an organization's efforts are devoted to information collection, for instance, efforts devoted to other organizational pursuits are thereby diminished. Thus, information costs in organizational energy are real, although not often converted to dollar figures.

Cost continues to be a critical factor in determining the well-being of most organizations. Since cost is important and since information has attendant costs, it follows that information can become too costly. The most relevant consideration of information cost, then, must be made with reference to its value. This relationship is shown in the figure below.

Figure 2*



*Adapted from Adrian M. McDonough. *Information Economics and Management Systems*, p. 82. Copyright © 1963 McGraw-Hill Book Co. Used by permission.

As this figure illustrates, the greatest net value of information occurs at the point where the greatest amount of information is obtained for the lowest cost (line A-B). At point C, the information is greater than at point A, but so is the cost. In fact, at point C no net value inheres in the information because the cost of acquiring it equals its value.

Timeliness

Information timeliness, like validity and cost, is related to value. In the words of R. L. Martino, "Information is of value only if it is received quickly enough" (1968, p. 54). If information necessary for decision making is received after a decision has been made, the information has, at best, historical value. Information's value is greatest when it is most needed. Without the time dimension, true information ceases to exist, information loses validity, and cost versus value becomes intolerable.

Using Information Attributes To Build an Evaluation Procedure

It is impossible to provide a neat set of evaluation procedures that will work in every setting. It is possible, however, to build a framework for the evaluation of teaching that can be generalized. Such a framework should reflect not only considerations of value, validity, cost, and timeliness, but also the best of what research on the evaluation of teaching has shown.

Process Specification

Too often educators assume that evaluation information is needed and desirable and simply set out to collect information without regard to its intended purpose. Most evaluation of teaching involves classroom observation and some sort of checklist or observational device. Such approaches assume that "good teaching" can be distinguished from "bad teaching" by simply following the protocol. But such an approach is limited by the efficacy of the device and the biases of the observer.

Since one can find little agreement about a definition of "good teaching," a more productive approach is one that asks the question, "Why do we need this information?" "What decisions will this information enable me to make?" "What will this information tell me about teaching?" Such questions allow one to build a

rationale for approaching the evaluation of teaching from an information base. These questions raise the issue of why we evaluate. Once the question of *why* is answered, the question of what information to collect can be pursued.

Having determined why and what information is needed, we have taken the first major step in defining a process for the evaluation of teaching. We have specified a process that enables us to employ the attributes of information, criteria for judging the appropriateness of any information we might wish to collect and use.

Value and the Evaluation of Teaching

One can raise questions about the value of any attempt to evaluate teaching. For instance, does evaluation result in better teaching, in more student achievement, in more effective educational process? Answers to these questions vary from person to person and from role to role.

In a survey of high schools in one state, it was found that 75% of the people evaluating teaching believed that written observation reports were helpful in improving instruction. But, according to the survey, only one-half of the untenured and one-third of the tenured teachers believed the same (Robinson, 1978). Another study found that discrepancies between teacher and principal perceptions of the value of ratings of teaching were greatest with "least effective" teachers (Tuckman, Steber, and Hyman; 1977). A third study showed that principals employed a different set of criteria when evaluating teaching for the purposes of instructional improvement than for evaluating for potential promotion (Barrington, 1972).

These studies suggest that value in the evaluation of teaching may be as much perceived as real. Second, they suggest that different criteria are employed in evaluation whether or not the participants are aware of those differences. Finally, and probably most importantly, these studies point to a communication gap that exists between evaluators and those being evaluated. It is small wonder that questions about the value of the evaluation of teaching exist in the profession.

To increase the value of evaluation of teaching to evaluators and teachers alike, several steps can be taken. The first is what might be called pre-evaluation specification. Before any evaluative procedure is employed, the evaluator should meet with teachers to communicate criteria to be used, purposes of the evaluation, how the information will be used, and why evaluation is necessary. In brief, the evaluator should do everything possible

to close the communication gap that exists around the evaluation of teaching.

A second step is to increase the frequency of data collection. In a provocative 1975 study (Thompson, Dornbusch, and Cott), the researchers found that principals thought teachers knew more about the evaluation process than they really did. Principals also believed that teachers would be dissatisfied with frequent evaluations. But, the frequency of communicating the results of evaluations proved to be a major factor in teacher satisfaction with the evaluations. Further, as the frequency of those communications increased, so did teacher perceptions of the value of those evaluations.

Validity and the Evaluation of Teaching

Validity undoubtedly poses the greatest problem to the evaluation of teaching. Traditionally, teaching has been evaluated by a person who observes or in some way tries to measure what a teacher does and compares this with some acceptable standard of performance. A critical weakness with this type of evaluation, the so-called process approach, is the fact that verifiable standards of performance have not been identified. Research to date indicates that only four characteristics of "good teaching" can be identified with any degree of certainty. The four characteristics are 1) time on task, 2) clarity of presentation, 3) knowledge of subject matter, and 4) enthusiasm for learning *my* subject (Fink, Klein, and Burry; 1976).

Since so little is known about effective teaching from empirical research, the evaluation of teaching, in the traditional process approach, is as much a reflection of the evaluator's biases as it is an appraisal of the teaching act. Thus, reliability among evaluators is low, and the process becomes an idiosyncratic exercise assuring compliance rather than an evaluation leading to the improvement of instruction.

More recently attention has been focused on the results of teaching, the so-called outcome approaches. These approaches are based on the rationale that, "Every decision that has to do with the position of teacher and the person who is to perform the role of teacher should take into account evidence showing an individual's competency to produce changes in learners" (McNeil and Popham, 1973). But this approach, too, has limitations. We have not been able to agree on just what changes should be produced. We have not been able to agree on evidence of acceptable "mastery" of subject matter. We have not resolved the issue of mastery and its relationship to student ability.

These issues require resolution if student learning is to be used as the basis for the evaluation of teaching. Further, the questions surrounding these issues cannot be answered with a simple yes or no. To resolve these questions, one must address a host of related questions, all of which have a direct bearing on the validity of evaluation.

Validity is an issue that we cannot resolve at this writing. The best that we can do at this point is to reduce the level of uncertainty as much as possible. To do so, one must recognize that inference plays a large part in the process of the evaluation of teaching. Since there are no absolutes that comprise a standard for judging "good teaching," we are forced to make inferential judgments.

Operationally, we can raise the probability that our evaluation information is valid if we use as many kinds of information as possible. We can collect observational data, student performance measures, student and parent ratings, as well as peer ratings. Such a broad data base will neither ensure validity nor alleviate the need for inferences. It simply will help make the evaluation process more explicit and reduce some of the uncertainty which surrounds its use.

Cost and the Evaluation of Teaching

Costs accrue to the evaluation of teaching in obvious ways. Teacher and administrator time, materials, and secretarial services are all examples of direct cost items. Rather than consider such items separately, however, they must be considered in relation to the value derived from the total evaluation effort. As an example, in the study cited above which indicated that increased frequency of communications about evaluation raised the perceived value of the evaluations, one could legitimately raise questions about the attendant costs associated with frequent evaluations and communications. If one increases the frequency of evaluation activities, costs will also increase. But if the value derived from frequent evaluation-related communications rises, then higher costs may be justified. Thus, the important consideration is the ratio that exists between the increased costs and the increased value.

Timeliness and the Evaluation of Teaching

Most educational institutions have policies which specify the frequency and the time of year for evaluating teaching. If one is

satisfied with complying with the policy, the timeliness criterion is met. If, however, one considers the relationship between timeliness and value, simply complying with the policy is not enough. For instance, some institutions require that teacher evaluations be completed by the end of April each year. If the improvement of instruction is the motivation for conducting the evaluation, little time is left in the academic year for follow-up, for changes in teaching procedures, for student re-testing, and the re-evaluation of teaching. In such cases the information derived from the evaluation process has little value, because it was not made available in a timely fashion.

Legal Considerations for Gathering Information

It is impossible at this writing to provide more than an outline of some of the legal implications of collecting information for evaluating teaching. A fuller discussion of the topic by Strike and Bull appears in the *Handbook of Teacher Evaluation* (Millman, ed., 1981).

At a minimum, procedures for collecting information for evaluating teaching must meet three tests: equal respect, reasonableness, and effectiveness. Equal respect is based on the premise that teachers are human beings, objects with intrinsic value, and possessed of certain rights. Further, every teacher is of equal human worth. Evaluation proceduces must respect the dignity of teachers as human beings.

Reasonableness refers to the expectation that evaluation procedures are neither arbitrary nor capricious. That is, decisions based on information gathered for evaluation must be warranted by that information. And, decisions may not be made on the besis of unknown or unannounced standards, achieved in untimely or irregular ways, or construed to focus on particular individuals.

Not only must evaluation procedures protect the teacher, they must also promote good education. The school has a legitimate role in society, and the evaluation procedures employed should assure that the aims of the school are being met in an effective manner.

The design and implementation of an evaluation procedure must meet the three tests of equal respect, reasonableness, and effectiveness. Although the courts give the school board latitude in pursuing its mission in our society, to ignore these tests is to invite legal intervention in the conduct of professional responsibilities of educators.

Reporting Teacher Evaluations

There is probably no "right" way to report information collected in the evaluation of teaching. From a management information perspective, the most appropriate way to report such information is the way in which the information contributes to its best use. That use, of course, should be detailed in the process specification step taken at the outset of the evaluation process.

Appropriate reporting formats can be determined, in part, by the needs of people who will use the information. It is almost axiomatic that recipients of evaluation reports would be identified in written policy. The purposes and procedures for sharing evaluative information, if written into policy, help ensure that such information will be used for its intended purpose and in a form that is useful. Without written policy, careful information management is difficult.

Enough research has been conducted to indicate that the most important recipient of information from the evaluation of teaching is the teacher. In most cases, this information is reported person-to-person in a one-to-one setting. This format allows for dialogue and sets the stage for instructional problem solving. If the primary purpose for evaluating teaching is the improvement of instruction, then the timely, face-to-face reporting of evaluative information is crucial.

Every educational institution has legitimate need for information derived from the evaluation of teaching for managerial purposes. Decisions about re-employment, tenure, assignment, and salary can all be informed by evaluation. Reporting information for these purposes will undoubtedly take a form different from the face-to-face report to the teacher. Again, if evaluation procedures are detailed in written policy, reports for management purposes can be prepared and used as a matter of course in an efficient manner. Problems which arise from such use of evaluative information do so most frequently because the information was not collected and reported systematically, in a form that was useful to the decision maker and open to review by the teacher.

Legal Constraints on Reporting Evaluation Information

Reports containing information about the evaluation of teaching are not public documents. The evaluation of teaching is conducted as a legitimate function of improving the quality of education. Accordingly, access to evaluation reports is available

to persons who have a legitimate role in improving educational quality. Other uses of such reports abridge the teacher's rights of privacy and confidentiality.

The courts, too, may request access to evaluation reports. Such reports may be used as evidence, not only of the content of evaluations, but also of the processes used to achieve the reports.

In some states legislation has been enacted that specifies an evaluation procedure for all teachers. California's Stull Act, for instance, specifies the frequency of evaluation, the type of reporting to be employed, the timeliness, and the conditions surrounding the evaluation. To educators in California, and in other states with such legislation, the legal constraints surrounding the reporting of evaluation information are explicit.

Using Information from Teacher Evaluations

Two legitimate uses exist for information derived from the evaluation of teaching: management decision making and the improvement of instruction. Where evaluation information is used for management purposes, the evaluator is acting as an agent of the institution. Information is collected to enhance the attainment of institutional objectives. If the information has value, is valid, and was obtained with timeliness, its contribution to the attainment of those objectives can be substantial. Without these assurances of informational quality, the information should not be used.

Most principals agree that the improvement of instruction is the most important use of information from the evaluation of teaching (Educational Research Service, 1978). Too often, however, the full value of such information is not realized. With some notable exceptions, an evaluation report is filed after a conference with a teacher, to be examined only when a new evaluation report is due or when a management decision must be made. Far more value can be derived by using the information for diagnostic and prescriptive purposes.

Valid evaluative information should provide the basis for identifying strengths and weaknesses in a teacher's performance. It can provide a basis for comparing some previously agreed upon standard of teaching with actual teaching practice. It helps maintain procedural uniformity and minimizes the risks of capriciousness and arbitrariness. Using evaluation information for diagnosis forms a basis for its other use, prescription.

A joint teacher-administrator agreement on steps to be taken to remediate teacher weaknesses is a sound use for evaluative information. Such an agreement can include timeliness, objectives to be achieved, and plans for follow-up evaluations. In this form the evaluation serves as a type of "contract" between the teacher and the administrator. Such an agreement, in turn, serves as a mechanism for further evaluation.

The use of evaluation information not only benefits individual teachers, but groups of teachers as well. By developing an index of evaluation results for a group of teachers, one can build a data base for planning programmatic and systematic inservice programs. It is possible, also, to accumulate information over a period of time to conduct longitudinal analyses of teacher performance. These activities require an investment of time and effort. But, if the results are improved teaching and higher student achievement, the increased effort will be cost effective. To ignore the possibilities for using the information in these ways is to waste a potentially valuable resource.

Legal Constraints in Using Teacher Evaluations

Legal implications are strongest in the use of teacher evaluations for management purposes. The four purposes for which this information is most frequently used are 1) termination, 2) establishing salaries, 3) promotion and demotion, and 4) recommendations for employment.

Where evaluation information is used at least as a partial basis for recommending the termination of a teacher's services, the administrator and the board of education can reduce the risk of legal entanglements if certain safeguards are present. First, grounds for termination should be included in written policy. Second, all teachers should receive similar evaluative review. Third, evaluative procedures should not result in unequal impact on different sexes or races. Fourth, consistency of action toward teachers with similar shortcomings is important. For a school board or administrator facing legal action, documentation of these safeguards can be a critical factor.

In general, boards of education have the authority to introduce merit salary systems so long as they are based on reasonableness and are administered fairly. This provision varies from state to state, but in almost every state the board of education has the prerogative to develop some sort of merit incentive plan. If litigation arises from the institution of such a plan, a key ingredient in

the school's case is the ability to document its attempt to be reasonable and fair.

Promotion and demotion are ordinarily tenure-related matters. Under most tenure statutes, teachers attain tenure at certain specified grades or ranks. Teachers are sometimes assigned to grades or ranks not specified in the statutes. The precise legal relationship between assignment to ranks specified in tenure statutes and assigment to ranks not included in those laws is not clear. Using evaluation information for such assignments, however, may require the documentation of due process.

Recommendations for employment based on evaluative information can form a rational basis for such recommendations. But, if such a recommendation contains statements imputing a person's incapacity to teach, the statements may form the legitimate basis for a slander or liable suit. As a procaution, administrators are advised to be able to demonstrate that evaluations were conducted in a legally responsible manner, that due process was followed, and that care was taken in interpreting the information and generalizing upon it.

To summarize, a legally sound basis for using evaluative information has three attributes: First, the procedures should be based on written policy applied uniformly to all teachers. Second, evaluation should focus only on those aspects of a teacher's performance that are relevant to a teacher's ability to execute his or her responsibilities. Third, although due process does not extend to the evaluation of teaching *per se*, it does extend to the uses to which evaluative information is put.

Conclusion

Michael Scriven has said, "Teacher evaluation is a disaster" (1981, p. 244). If it is a disaster, it is so because practices simply do not match our knowledge of the subject. In this chapter I have attempted to give practitioners a framework for designing evaluation procedures. A management information framework offers the possibility for moving to a more rational approach to evaluating teaching than the typically normative procedures employed in many educational institutions. Such a rational approach offers the possibility of achieving more cost-beneficial results for evaluation, developing procedures that protect legal rights of teachers and educational institutions, and improving the quality of educational programs for students.

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NSPER:81

Albuquerque Presentation

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Outline*

The Utilization of Information from the Evaluation of Teaching

Anton J. Netusil

*The outline that follows was developed by W. J. Gephart, based on Anton J. Netusil's presentation at NSPER:81 in Albuquerque, New Mexico.

EXHIBIT 1

Purposes of Teacher Evaluation

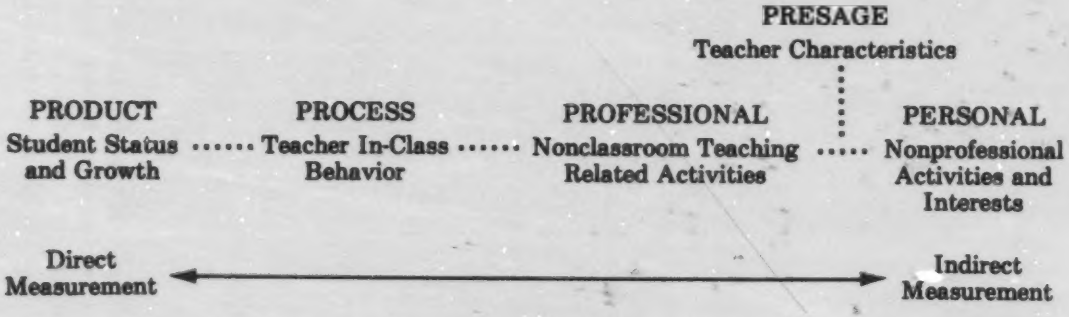
The data gathered in the evaluation of teaching differs, in part, according to the evaluation purpose to be served and the variables that determine teacher competence. Six purposes can be identified:

1. Improvement of instruction
2. Rewarding superior performance
3. Modification of assignment
4. Protection of individuals and the organization
5. Validation of the selection process
6. Promotion of individual growth and self-evaluation

EXHIBIT 2

Variables Involved in Determining Teacher Competence*

Except for presage (teacher characteristics), the variables involved in determining teacher competence can be found along a continuum from direct to indirect measures.



*Jean A. King, "Beyond Classroom Walls: Indirect Measures of Teacher Competence," p. 169 in *Handbook of Teacher Evaluation*, ed., Jason Millman. Copyright © 1981 by National Council on Measurement in Education. Reprinted by permission of Sage Publications, Inc.

EXHIBIT 3

The Effective Teacher *

- Is well organized (and thus prevents problems that are likely to arise from confusion).
- Gives students more time on academic tasks because classroom routines do not require as much time.
- Tends to teach the class as a whole or in large groups, giving less independent seat work.
- Emphasizes academic achievement and expects that all students will achieve.
- Selects and directs classroom activities.
- Makes sure that students master one unit before moving on to the next.
- Involves students in learning activities whenever possible.
- Assigns tasks for which students have a high likelihood of succeeding.
- Has a good grasp of the subject matter.
- Has excellent presentation skills (i.e., can explain well, demonstrates, can lead a good discussion).
- Monitors student progress by asking questions and circulating around the room.
- Gives adequate feedback so students know what they have learned and what still needs to be learned.
- Finds ways to get students to cooperate with one another and take responsibility for their work.
- Directs questions to specific students rather than to those who volunteer.
- Uses guides and probing questions when students don't know answers.
- Encourages positive behavior and controls negative behavior.
- Does not grade papers during the class period.
- Does not socialize or allow students to socialize in class.
- Does not permit interruptions of class activities.

*Leaders Guide, p. 18, *Teacher and School Effectiveness* (videotape). Reprinted with permission of the Association for Supervision and Curriculum Development. Copyright © 1981 by the Association for Supervision and Curriculum Development. All rights reserved.

EXHIBIT 4

The Effective School *

- Has strong leadership, especially in reading and math instruction.
- Provides a pleasant and orderly atmosphere. The classroom climate is businesslike with teacher-directed activities.
- Expects all students to learn.
- Makes learning the chief priority; all staff members understand this emphasis.
- Monitors student progress carefully, reports test results and uses them to improve teaching and learning.
- Gives students adequate time on task; gives students opportunity to learn the expected content.
- Stresses rewards rather than punishment.
- Is committed to mastery of subject matter; insists that each student succeed before moving on to the next unit.
- Has high expectations of teachers as well as students.
- Encourages and facilitates visits of teachers to other teachers' classrooms to observe.
- Maintains consistency among teachers in treatment of students.
- Conducts a yearly self-evaluation, involving all the staff, to find areas of strengths and weaknesses.

*Leaders Guide, p. 19, *Teacher and School Effectiveness* (videotape). Reprinted with permission of the Association for Supervision and Curriculum Development. Copyright © 1981 by the Association for Supervision and Curriculum Development. All rights reserved.

Given the characteristics of an effective school (Exhibit 4), the characteristics of the effective teacher (Exhibit 3), and a purpose for evaluating (Exhibit 1), every teacher evaluation should be a composite of some of the variables from the three lists.

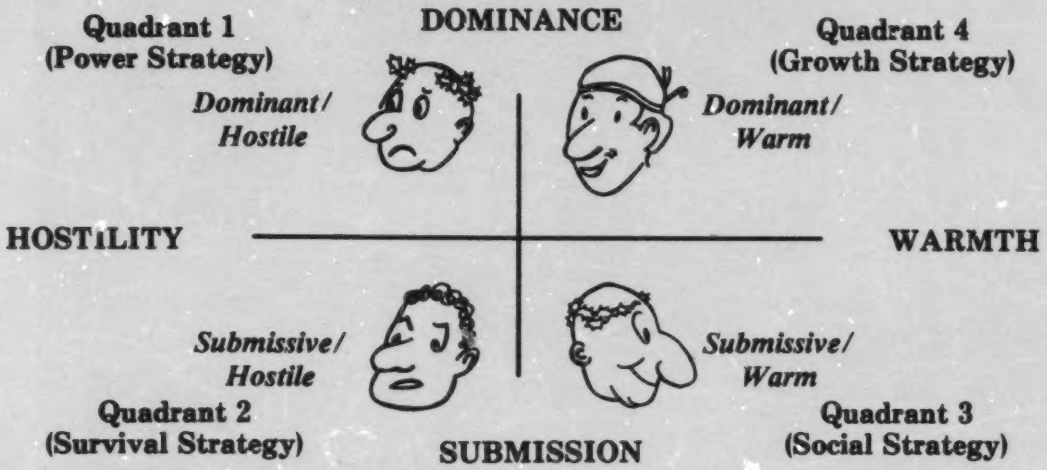
In addition to teacher variables, school variables, and evaluation purposes, there is a fourth set of variables that will more or less determine how the results of teacher evaluations are used: the nature of the manager.

Four "Dimensional Management Strategies" (styles) were presented. They are presented as the four quadrants in the cross-break between the way the "manager" generally feels toward others (from warm to hostile) and the degree of willingness to assume leadership (from submissive to dominant).

[See Exhibits 5-10.]

EXHIBIT 5

The Dimensional Management Model*



*Adapted from R. E. Lefton, V. R. Buzzotta, and Manuel Sherberg, *Dimensional Management Strategies* (St. Louis: Psychological Associates, Inc., 1972).

EXHIBIT 6

The Dimensional Management Model *

DOMINANCE

X **Quadrant 1 Manager**
Dominant-Hostile
(Power) Strategy

Getting the job done and enhancing his personal power in the organization are what count. These goals can best be achieved by tight control of subordinates and by manipulative relationships within the organization.

Quadrant 4 Manager
Dominant-Warm X
(Growth) Strategy

The achievement of the organization's goals and the achievement of its people's goals are what count. Both can be achieved through commitment generated by meshing the goals of the organization with the goals of its people.

HOSTILITY ⟷ WARMTH

Personal survival is what counts. This can best be achieved by attaining minimum goals and doing nothing to rock the boat. Managing is just another way of making a living.

X **Quadrant 2 Manager**
Submissive-Hostile
(Survival) Strategy

Being liked is what counts; everything else flows from this affection, and results can be obtained by concentrating on warm human relations at all levels of the operation.

Quadrant 3 Manager
Submissive-Warm X
(Sociability) Strategy

SUBMISSION

*R. E. Lefton, V. R. Buzzota, and Manuel Sherberg, *Dimensional Management Strategies*. Copyright © 1972 by Psychological Associates, Inc. Used by permission.

EXHIBIT 7

General Descriptors of the Management Approaches*

Quadrant 1: Dominant/Hostile
1. Autocratic
2. Exploitative
3. Assertive
4. Fearful of failure

Quadrant 2: Submissive/Hostile
1. Security oriented
2. Victimized
3. Defensive
4. Negative

Quadrant 3: Submissive/Warm
1. People oriented
2. Optimistic
3. Louse organizer
4. Generates good will

Quadrant 4: Dominant/Warm
1. Seeks self-realization
2. Self-confident
3. Believes in teamwork
4. Wants everyone to grow

*Adapted from R. E. Lefton, V. R. Buzzotta, and Manuel Sherberg, *Dimensional Management Strategies* (St. Louis: Psychological Associates, Inc., 1972).

The Management Styles*

Dominant/Hostile (Q−1) =
bribing and preaching

Submissive/Hostile (Q−2) =
undermanaging and overreacting

Submissive/Warm (Q−3) =
soothing and grandstanding

Dominant/Warm (Q−4) =
coaching and counseling

*Adapted from R. E. Lefton, V. R. Buzzotta, and Manuel Sherberg, *Dimensional Management Strategies* (St. Louis: Psychological Associates, Inc., 1972).

EXHIBIT 9

Objectives of the Dominant/Warm Management Strategy*

1. Make sure that subordinates are aware of their strengths.

2. Help subordinates to understand what improvement is needed.

3. Give subordinates insights into the relationships between their needs and the needs of the organization.

4. Demonstrate that both the staff needs and the needs of the organization can be satisfied through improved performance.

*Adapted from R. E. Lefton, V. R. Buzzotta, and Manuel Sherberg, *Dimensional Management Strategies* (St. Louis: Psychological Associates, Inc., 1972).

EXHIBIT 10

Using the Dominant/Warm Strategy in Teacher Evaluation

The Dominant/Warm management strategy (Q-4) is the only one of the four that achieves the understanding without which growth is impossible.

Coaching and counseling are a paradigm of all managerial person-to-person skills.

As a manager/evaluator, you should work on your approach to:

1. Initial interaction
2. Communication
3. Direction of the interview
4. Climate
5. Handling of disagreement
6. Final resolution
7. Goal setting and plan of action

EXHIBIT 11

Effective Teaching Behaviors*

The effective teacher has been the focus of several massive research projects over the past decade. How do you spot an effective teacher? What do you look for?

Effectiveness depends, at least in part, upon the model of teaching chosen.

Do you want a teacher as:

1. Lecturer?
2. Expert Resource Person?
3. Facilitator?
4. Counselor?
5. Leader of Group Meetings?
6. Tutor?
7. Manager of Media Instruction?
8. Laboratory Supervisor?
9. Programmer?
10. Manipulator of Learning Environment?

*Bruce Joyce and Marsha Weil, cited in Peter F. Oliva, *Supervision for Today's Schools* (New York: Thomas Y. Crowell, Co., 1976), pp. 325-326.

EXHIBIT 12

The Well-Organized Teacher*

1. Specifies objectives
2. Reviews and previews
3. Is task oriented (ensures that subject matter at hand is major focus of discussion)
4. Signals transitions
5. Emphasizes important aspects, gives structuring comments
6. Gives clear explanations
7. Checks for comprehension
8. Is personally efficient and organized
9. Summarizes completed lessons

*David Berliner, et al., *Instruction Manual for Lesson Organization* (Tampa, Fla.: University of South Florida, National Resources and Dissemination Center, ca 1972), p. 9.

EXHIBIT 13

What to Look for in the Problem-Solving Lesson*

1. Describe for the student the terminal performance which will constitute the solution to the problem.

2. Assess the student's entering behavior for mastery of concepts and principles needed to solve the problem.

3. Invoke the recall of all relevant concepts and principles.

4. Provide verbal direction of the students' thinking, short of giving them the solution to the problem.

5. Verify the students' learning by requiring them to give a full demonstration of the problem solution.

*John P. DeCecco and William R. Crawford, *The Psychology of Learning and Instruction: Educational Psychology*, 2nd ed. (Englewood Cliffs, N.J.: Prentice Hall, 1974), pp. 336-342.

The "Tell-and-Sell" Approach to Using Evaluation Information

1. Long introduction; appraiser must keep talking to prevent the appraisee from expressing objections.
2. Small talk is used as a "disarmer."
3. Usually take up good ratings first; also add praise. The "judge" is pleased.
4. The good part ends when the appraiser runs out of "happy words."
5. The remainder of the interview focuses on appraisee's deficiencies.
6. A "request-for-change" is made. Pep talk is given to let the appraisee "know why."
7. Now the "yes—but" defense by the appraisee begins.
8. The formality increases as distance and "chill" increase. We hear terms like "yes ma'am," "sir," "Dr." Jones, "Mr." superintendent.
9. The appraiser "judge" may now use his/her cruelest weapon: "If you deny my charges, the denial is evidence of *guilt*!
10. The judge says, "Don't *defend* yourself, *reform* yourself!"
11. The appraiser will do 80% of the talking. Yet, in our research, we have found that the person who talks the most is the one who *changes* the most.
12. There is a strong nine-to-one effect.
13. It is, "I'm O.K.; your're not O.K.!"
14. Tell-and-sell is a pure "carrot-and-stick" approach.
15. Weaknesses take more words to discuss than do strengths. This causes the emplcyee to feel more rejected by the appraisal than the superior intends.

EXHIBIT 15

The "Tell-and-Listen" Approach to Using Evaluation Information

1. In "tell-and-listen" interviews the appraiser communicates the evaluation to the employee and then waits for a response.

2. Tell-and-listen is somewhat unnatural for a school administrator. She/he often views it with skepticism, because one must be a little ambiguous about authority to use it.

3. In tell-and-listen the appraiser communicates the gist of the evaluation early, then uses the balance of the time to explore the appraisee's feelings about the evaluation, hence, catharsis and ventilation.

4. One of the great merits of tell-and-listen: It neutralizes some of the bad feelings that are introduced by communication of the evaluation.

5. If you take over after a "Big Daddy" type, about all you can hope to accomplish the first year is ventilation and catharsis!

EXHIBIT 16

The Problem-Solving Approach to Using Evaluation Information

The Clinical Supervision Steps:

1. Preobservation conference
2. Classroom observation
3. Analysis of data observed and strategy planning for presenting data
4. Postobservation conference
5. Critique

Problem-Solving Insights:

1. Problem-solving approach has the single objective of *improving* instruction.
2. Interviewer is a *helper*, not a judge.
3. Growth is what we want, and growth can occur without correcting all faults.
4. Discussion develops new ideas and mutual interests.
5. Problem solving does away with argument over who is right, who is wrong. It stresses what is right for students in the future.
6. Remember, the change that occurs may not be what you (the superior) had in mind!

EXHIBIT 17

The Three Interaction Modes Compared

Variables	*Tell-and-Sell*	*Tell-and-Listen*	*Problem-Solving*
Objectives	To communicate evaluation To persuade employee to improve	To communicate evaluation To release defensive feelings	To stimulate growth and development in employee
Psychological Assumptions	Employee desires to correct weaknesses if he knows them Any person can improve if he so chooses A superior is qualified to evaluate a subordinate	People will change if defensive feelings are removed	Growth can occur without correcting faults Discussing job problems leads to improved performance

(continued)

Role of Interviewer	Judge	Judge	Helper
Attitude of Interviewer	People profit from criticism and appreciate help	One can respect the feelings of others if one understands them	Discussion develops new ideas and mutual interests
Skills of Interviewer	Salesmanship Patience	Listening and reflecting feelings Summarizing	Listening and reflecting feelings Reflecting ideas Using exploratory questions Summarizing
Reactions of Employee	Suppresses defensive behavior Attempts to cover hostility	Expresses defensive behavior Feels accepted	Problem-solving behavior
Employee's Motivation for Change	Use of positive or negative incentives or both Extrinsic motivation is added to the job itself	Resistance to change reduced Positive incentive Extrinsic and some intrinsic motivation	Increased freedom Increased responsibility Intrinsic motivation—interest is inherent in the task

(continued)

(cont.)

(Variables)	*(Tell-and-Sell)*	*(Tell-and-Listen)*	*(Problem-Solving)*
Possible Gains	Success most probably when employee respects interviewer	Employee develops favorable attitude toward superior, which increases probability of success	Almost assured of improvement in some respect
Risks of Interviewer	Loss of loyalty Inhibition of independent judgment Face-saving problems created	Need for change may not be developed	Employee may lack ideas Change may be other than what superior had in mind
Probable Results	Perpetuates existing practices and values	Permits interviewer to change his views in light of employee's responses	Both learn, because experience and views are pooled Change is facilitated

EXHIBIT 18

Rights of Educational Institutions*

1. Educational institutions have the right to exercise supervision and to make personnel decisions intended to improve the quality of the education they provide.

2. Educational institutions have the right to collect information relevant to their supervisory and evaluative role.

3. Educational institutions have the right to act on such relevant information in the best interest of the students whom they seek to educate.

4. Educational institutions have the right to the cooperation of the teaching staff in implementing and executing a fair and effective system of evaluation.

*Kenneth Strike and Barry Bull, "Fairness and the Legal Context of Teacher Evaluation," p. 307 in *Handbook of Teacher Evaluation*, ed., Jason Millman. Copyright © 1981 by National Council on Measurement in Education. Reprinted by permission of Sage Publications, Inc.

EXHIBIT 19

Rights of Teachers*

1. PROFESSIONAL RIGHTS
   a. Teachers have a right to reasonable job security.
   b. Teachers have a right to a reasonable degree of professional discretion in the performance of their jobs.
   c. Teachers have a right to reasonable participation in decisions concerning both professional and employment-related aspects of their jobs.

2. EVIDENTIAL RIGHTS
   a. Teachers have the right to have decisions made on the basis of evidence.
   b. Teachers have a right to be evaluated on relevant criteria.
   c. Teachers have the right not to be evaluated on the basis of hearsay, rumor, or unchecked complaints.

3. PROCEDURAL RIGHTS
   a. Teachers have the right to be evaluated according to general, public, and comprehensible standards.
   b. Teachers have the right to notice concerning when they will be evaluated.
   c. Teachers have the right to know the results of their evaluation.
   d. Teachers have the right to express a reaction to the results of their evaluation in a meaningful way.
   e. Teachers have the right to a statement of the reasons for any action taken in their cases.

(continued)

*Kenneth Strike and Barry Bull, "Fairness and the Legal Context of Teacher Evaluation," p. 308 in *Handbook of Teacher Evaluation*, ed., Jason Millman. Copyright © 1981 by National Council on Measurement in Education. Reprinted by permission of Sage Publications, Inc.

(cont.)

f. Teachers have the right to appeal adverse decisions and to have their views considered by a competent and unbiased authority.
g. Teachers have the right to orderly and timely evaluation.

4. OTHER HUMANITARIAN AND CIVIL RIGHTS
   a. Teachers have a right to humane evaluation procedures.
   b. Teachers have the right to have their evaluation kept private and confidential.
   c. Teachers have the right to evaluation procedures which are not needlessly intrusive into their professional activities.
   d. Teachers have the right to have their private lives considered irrelevant to their evaluation.
   e. Teachers have the right to have evaluation not be used coercively to obtain aims external to the legitimate purposes of evaluation.
   f. Teachers have the right to nondiscriminatory criteria and procedures.
   g. Teachers have the right not to have evaluation used to sanction the expression of unpopular views.
   h. Teachers have the right to an overall assessment of their performance that is frank, honest, and consistent.

EXHIBIT 20

Procedures for Teacher Evaluation Recommended by the National Education Association*

1. *The right to open appraisal*: A teacher who is the object of administrative data gathering for the purpose of appraising performance should be informed that such data gathering is taking place.
2. *The right to fair consideration of work effort*: Administrators charged with classroom observations should be fully apprised of the methodology, plans, and objectives of the teaching being observed and should observe the teacher often and long enough to obtain as accurate a picture as possible of the work performance of that teacher.
3. *The right to correct deficiencies*: A teacher who is declared deficient should be given the opportunity to correct the deficiencies, and the administration should give all the support necessary to help the teacher do it, including time, resources, and consultant services.
4. *The right of access to information*: A teacher who has information collected about him or her on matters related to his or her total work performance should be afforded the opportunity to monitor the collection of that information.
5. *The right to notice*: A teacher who is declared deficient in his or her performance should be apprised of this judgment immediately, with the reasons set forth in a clear and detailed manner.

(continued)

*From National Education Association, *Fair Treatment of Teachers: Teacher Evaluation and Collective Bargaining 1976.* (Washington, D.C.: National Education Association, 1976). Reprinted by permission.

(cont.)

6. *The right to representation*: The teacher charged with, reprimanded for, or stigmatized by an administrative judgment of deficient performance must have the right to be represented by the association and should begin at the time of the judgment of deficient performance.
7. *The right to a fair hearing*:
    a. If a teacher is judged deficient by an administrator, he or she ought to have the opportunity to question the administrator as to the reason for such a judgment.
    b. If a teacher is judged deficient, fairness dictates that the teacher be allowed to give his or her side of the story in as complete a manner as necessary.
    c. Another element is the right to have laid before the neutral party only the information that will be considered by the trier in his or her deliberations for arriving at a decision.
    d. The final element of a fair hearing is the right to a neutral trier of fact.
8. *The right to fair punishment*: A teacher who is judged deficient in performance and who is acted against as a result of that judgment should not have to suffer because the action taken is out of proportion to the deficiency.
9. *The right to equal treatment*: Invidious discrimination is condemned in our society by equal protection concepts. A teacher cannot be singled out for special treatment in evaluations on the basis of irrational or unreasonable distinctions.

EXHIBIT 21

Strategies To Use When the Teacher is not Productive

1. Evaluation contacts have become frequent and formal (show appraisee you are concerned and on top of the situation).
2. Evaluator has confirmed the evaluation "diagnosis" with other supervisory personnel and curriculum consultants—gains "prescription" ideas (job improvement targets).
3. Appraisee is given time to improve (six months generally is considered a minimum).
4. Appraisee is given help to improve (do not promise "remediation" or to provide the wherewithall of instruction; these are ultimately the teacher's professional responsibility).
5. Appraisee is given reports of progress (if any) over time.

If inadequate performance continues:

6. Evaluator "triangulates" by calling in multiple evaluators—gains more information and increases reliability of appraisal. (In U.S., a single evaluator is not enough for dismissal.)
7. Evaluator works on increasing the quality of appraisee's classroom testing (related ends to means to overcome "aimlessness," a common failing of nonproductive teachers).
8. Evaluator asks for, examines, and files "work samples." (Shows how appraisee has planned for and created learning systems, how the appraisee has tried to go beyond chalk-and-talk.)

(continued)

(cont.)

9. Evaluator stresses "warranted learning theory" and how other knowledgeable practitioners would proceed under similar circumstances. (Establishes congruence of job expectations with position description of the district.)

MORE TIME—MORE HELP—MORE PROGRESS REPORTS

If inadequate performance persists:

10. Evaluator and appraisee have conference with their mutual superior. (Warns of seriousness of deficiencies.)
11. Evaluator uses directives (in memo form) to teacher. (If teacher does not follow superior's instruction, a fair charge of insubordination can be made.)
12. Evaluator reprimands teacher (in memo form—copies to evaluation file and superintendent). Reprimands may be repeated several times if performance remains below standard.
13. Evaluator confers with superior concerning impending recommendation for disciplinary action or dismissal.
14. Evaluator and superior consult with district's counsel if dismissal recommendation is to be made. (Substantive and procedural due process steps are checked.)
15. Dismissal action taken following board policy, state statutes, and U.S. constitution—only if district's attorney concurs.

EXHIBIT 22

Teacher Rights in a Termination Proceeding*

A constitutionally sound termination procedure will include at least the following:

1. The right to be heard in a meaningful way
2. Appropriate notice and a statement of the reasons for termination
3. The right to confront and cross-examine witnesses
4. The opportunity to present evidence and argument
5. The right to an attorney
6. A decision resting on legal rules and the evidence produced at the hearing
7. A statement by the decision maker of the reasons for the decision and the evidence on which it is based
8. A record of the hearing

*Goldberg v. Kelly, 397 U.S. 254.

State Statutes and Teacher Evaluation*

1. The law of teacher evaluation is largely a state matter.

2. The state must decide if teacher evaluation is permissive, mandatory, or illegal. The answer determines whether specific procedures for teacher evaluation will be locally established beyond state and federal standards.

3. States differ in their provision for what evaluation procedures are formulated (most leave the matter to the local board), which categories of teachers are to be evaluated (most evaluate all teachers), when evaluation takes place (most evaluate beginning teachers more frequently than experienced teachers), the scope of the evaluation (most use a categorical approach, that is, personality, preparation, techniques, pupil relations), and how the evaluation is to be conducted (most states leave it to the local board).

4. Courts are strict about compliance with procedures mandated in the legislation on teacher evaluation, although there is some flexibility in applying procedures when the teacher does not have tenure.

5. Where local discretion is permitted, districts should establish clear standards and procedures for determining competence.

(continued)

*P. A. Zirkel and C. Castens, *Teacher Evaluation: A Legal Memorandum* (Reston, Va.: National Association of Secondary School Principals, 1978). Used by permission.

(cont.)

6. It is not wise to base unsatisfactory evaluations leading to dismissal entirely on student test scores. Evaluation of a teacher's work compared with other teachers, and evidence of low achievement of students, can be introduced as additional evidence.

7. Nonracial criteria must be used in judging the performance of teachers.

Legal Proceedings Should Not Cause Panic

Teacher evaluation is a job that is more susceptible to lawsuits and hearings than many others; we have to adjust to that fact of life. Anyone with the price of filing fees, or who is willing to bring charges, can initiate a lawsuit or hearing of some sort. Winning, however, is an entirely different matter. Apprehension is normal.

As an evaluator you should assume the following attitudes in preparation for legal proceedings:

1. I am a skilled administrator.
2. Teacher evaluations, and recommendations based on those evaluations, are a part of my role.
3. My actions have been based on my training, experience, and best professional judgment. The educational interests of children are foremost in my mind.
4. I have always been honest and forthright.
5. I have reviewed all my written evaluations and statements regarding this case. My oral testimony will agree with all written statements I have made, and it will agree with any oral statements I have made prior to the hearing.
6. Above all, I will accurately describe what the teacher did or did not do—i.e., I will give a professional description of the teacher's behavior and what effects that behavior had on students' behavior.